



## *Roles and Responsibilities*

### *Section C*

Roles and responsibilities of the organizations and positions listed below are further defined in DoD 5535.3, DoD Technology Transfer Program, and in AFI 61-301, The Domestic Technology Transfer Process and the Offices of Research and Technology Applications (ORTAs).

#### **Assistant Secretary of the Air Force (Acquisition) Directorate of Science and Technology (S&T) (SAF/AQR)**

- Is the Air Force Office of Primary Responsibility (OPR) for the Air Force Domestic Technology Transfer Program.
- Establishes Air Force policy and procedures for implementing and executing the Federal Technology Transfer Act (FTTA).
- Provides verbal and written policy, procedures, and processes.
- Prepares and publishes policy letters and instructions (reviews policy directives and instructions periodically for currency).
- Interfaces as required with Office of the Secretary of Defense (OSD), other DoD components, and other government agencies.
- Reviews the Air Force Domestic Technology Transfer Program for overall effectiveness in meeting stated objectives and goals.
- Develops reporting requirements and monitors program compliance by reviewing submitted reports and program execution.
- Assesses annually the Air Force's participation in, and compliance with, the requirements of the Domestic Technology Transfer Program.

#### **Technology Executive Officer (TEO)**

- The TEO, Commander, Air Force Research Laboratory (AFRL), is assigned program management responsibility for technology transfer, establishes technology transfer policy

and integrates transfer processes into strategic planning and technology investment processes throughout the command.

- Supports Air force Policy to enhance US Competitiveness while leveraging Research and Development (R&D) investments, making technology transfer activities a priority in Air Force acquisition programs, and ensuring technology transfer is a responsibility for science and engineering professionals.
- Serves as the Cooperative Research and Development Agreement (CRADA) review authority for AFRL and all other Air Force technical activities. This authority has been delegated to the AFRL directorates and the Air Force Materials Command (AFMC) center commanders. However, the TEO still maintains the final authority and responsibility for cooperative research.
- Appoints an Air Force Technology Transfer Program Manager.

#### **Technology Transfer Program Manager**

- Is the single focal point for the Air Force Technology Transfer Program.
- Develops policy and guidelines, through coordination with the TEO and SAF/AQR, as appropriate, for the ORTAs.
- Is the agency representative to the Director, Defense Research and Engineering (DDR&E) Technology Transfer Working Group.
- Is the agency representative to the Interagency Working Group of the Interagency Committee on Federal Technology Transfer.
- Provides information to the Office of the Secretary of Defense, the General Accounting Office, and the Department of Commerce as required.
- Collects and reports technology transfer activities



to the Defense Technology Information Center (DTIC) database.

- Develops and provides an annual Air Force business plan for technology transfer to DDR&E.
- Reviews and coordinates CRADAs for TEO review for organizations that do not have delegation of review authority.
- Manages the Air Force Technology Transfer Program Management Team.
- Manages the Air Force Technology Transfer Integrated Planning Team.
- Is the Air Force representative to the Federal Laboratory Consortium for Technology Transfer (FLC).
- Maintains the Air Force Technology Transfer Handbook.
- Maintains the Air Force Technology Transfer web site.

### Commanders and Directors

- Appoints the technology transfer focal point and establishes and ORTA.
- As authorized, enters into CRADAs, Patent License Agreements (PLAs), Commercial Test Agreements (CTAs), Education Partnership Agreements (EPAs) and other types of technology transfer agreements with public and private sector organizations.
- Supports and encourages the active participation of their ORTA staffs in various networking opportunities.
- Supports and encourages the technology transfer program and provides opportunities for scientists and engineers (S&Es) to transfer Air Force technology, expertise, processes, and services to the public and private sector.
- Supports participation in technology transfer activities, including participation in economic development organizations and with other technology transfer networks, including state and local governments.
- Ensures that technology transfer is not used to circumvent acquisition laws and regulations.
- Ensures that transfers are accomplished without actual or apparent personal or organizational

conflicts of interest or violations of ethics standards.

- Ensures that technology transfer activities will not constitute undue competition with the private sector.
- Includes the ORTA staff in the activity's management development program to ensure that highly competent technical managers fully participate in the technology transfer process.
- Makes technology transfer a high-priority element of their science and technology (S&T) programs by integrating it into their investment strategy.

### Technology Transfer Integrated Planning Team (TTIPT)

- The TTIPT was created as a working level group to share experiences and lessons learned. The Air Force Technology Transfer Program Manager chairs the TTIPT and is the collection point for all transfer-related data. The intent of the team is to allow laboratory and center transfer focal points to work together synergistically, building upon the experience of the established transfer offices.
- Started in March 1993, the TTIPT team meets regularly throughout the year and rotates the meeting location among the centers and the laboratory directorates. The team working groups address topics of interest and develop recommendations and improvement to the technology transfer process.
- Every operating location (one laboratory comprised of ten directorates), four product centers, a product center wing, two test centers, four air logistics centers, other Air Force organizations such as AFIT, USAF Academy, Air Combat Command, and Air University are members of the TTIPT. Members also come from the command transfer team and various offices from Headquarters AFMC (EN, FM, AFSAC, IN, JA, LG, PA, PK, and SF). Ad hoc membership is available to those transfer offices outside of AFMC.



*The Technology Transfer Integrated Planning Team (TTIPT)  
Charter (next page)*



## CHARTER TECHNOLOGY TRANSFER INTEGRATED PLANNING TEAM

### INTRODUCTION

The Air Force Materiel Command has embodied technology transfer in command objective #5: "aggressively share our dual use technology and technical capabilities with the US public and private sectors." In order to meet this objective, the command hereby charters the Technology Transfer Integrated Planning Team (TTIPT) to enhance and improve the technology transfer process and to address and exploit technology transfer opportunities throughout the command.

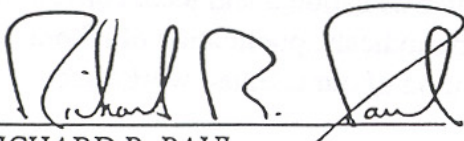
### VISION

The Air Force Materiel Command headquarters, centers, and laboratories will work together to improve the process of transferring our technologies (including access to facilities and technical expertise) to the US public and private sectors. Such transfer will improve the vitality/affordability of technology for military-related solutions and increase the economic competitiveness of the United States.

### CHARTER

The TTIPT, chaired by the AFMC Technology Transition Office (AFMC TTO), will work together to discuss issues, exploit opportunities, and share lessons learned for the benefit of all the participating members. The TTIPT will report information, concerns, plans, and activities to HQ AFMC/ST and the field commanders as appropriate, and will work to achieve TTIPT consensus as part of its decision making process (with all members having an equal voice). The TTIPT will also conduct outreach activities with other federal agencies as appropriate.

Each laboratory and center will appoint a transfer focal point from their Office of Research and Technology Applications; that focal point will coordinate the transfer activities at his/her respective laboratory or center. Activities will include providing the support, advice, and guidance to people in the field to effect successful transfers in concert with the command objective and public law. The focal point will represent his/her organization and actively participate as a member of the TTIPT. The focal points will assure timely submission of transfer program information to HQ AFMC through the TTO. To enhance the transfer process at the laboratory and center level, the local focal points will work with their legal, comptroller, public affairs, contracting, and STINFO staff to enrich and strengthen the technology transfer process.

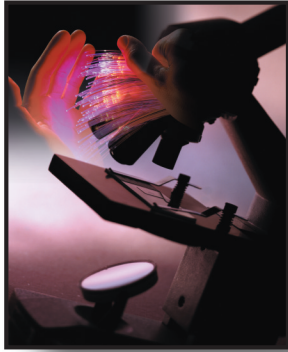


RICHARD R. PAUL  
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Director, Science and Technology

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Date

## Offices of Research and Technology Applications (ORTAs)

As stated in the Federal Technology Transfer Act of 1986, as amended, each federal



laboratory with 200 or more full-time scientific engineering and related positions is required to have at least one full-time ORTA staff position. Section II of the Act, Utilization of Federal Technology, assigns the following functions to ORTA staff:

- Prepare application assessments for selected research and development projects in which that laboratory or center is engaged and, in the opinion of the laboratory, may have potential commercial applications.
- Provide and disseminate information on federally owned or originated products, processes, or services having potential for application to state and local governments and to private industry.
- Cooperate with and assist the National Technical Information Service (NTIS), the FLC, and other organizations that link federal R&D resources of that laboratory and the federal government as a whole to potential users in state and local governments and private industry.
- Provide technical assistance when requested to state and local government officials.
- Participate, where feasible, in regional, state and local programs designed to stimulate, as facilitator, technology transfer for the benefit of the region, state, or local jurisdiction in which the federal laboratory is located.
- Develop and provide an annual business plan for technology transfer to Air Force Technology Transfer Program Office.
- Every two years (on even-numbered years), the Secretary of Commerce submits a summary report to the President and Congress on the implementation of the Federal Technology

Transfer Act. The ORTA staff provides input to this report for their respective laboratory directorate or center.

## Scientists and Engineers

The Federal Technology Transfer Act of 1986, Public Law 99-502, requires federal agencies to make technology transfer a job requirement of every laboratory scientist and engineer. It also adds that management must positively consider technology transfer in job descriptions, performance evaluations, and promotions. Air Force Policy Directive 61-3, Domestic Technology Transfer, February 2001, states, "Technology Transfer is a responsibility of all Air Force science and engineering professionals working in Air Force laboratories and/or technical activities." Air Force Instruction 61-301, Domestic Technology Transfer Process and the Offices of Research and Technology Application, states "Support and encourage the technology transfer program and provide opportunity for scientists and engineers to transfer Air Force technology, expertise, processes, and services to the public and private sector." and, "Make DTT a high-priority element of their S&T programs by including it in their investment strategy process." AFMC has extended technology transfer responsibilities to all laboratory, product, test and logistics centers.

Following are the recommended words which should be included into each scientist and engineer's position description:

*Technology Transfer:* Reviews, assesses, and determines the availability of the technologies and technical capabilities of their projects and programs for transfer to the US public and private sectors. Works with the organization's technology transfer focal point in the ORTA to transfer the technologies and technical capabilities in accordance with the Air Force Technology Transfer Handbook, AFRPD 61-3 Domestic Technology Transfer, and the applicable laws.

Following are the recommended words which should be included into each scientist and engineer's work plan:

**Work Plan: (non-critical)**

Performance Element, Technology Transfer: Works to assess the availability of technologies and technical capabilities of their projects and programs. Strives to transfer those technologies and technical capabilities to the US public and private sectors in accordance with public laws, AFRD 61-3, Domestic Technology Transfer, AFI 61-301, The Domestic Technology Transfer Process and The Offices Of Research and Technology Applications, AFI 61-302 Cooperative Research and Development Agreements, and the Air Force Technology Transfer Handbook. Uses the local technology transfer focal point to assist in these transfer activities. Works with the non-Air Force partners to expeditiously complete the transfer after the formal transfer agreements are signed and approved.

**Performance Standard, Technology Transfer:**

Performance is satisfactory when the incumbent demonstrates an active knowledge of the program requirements, takes positive action to assess technologies and technical capabilities, and initiates actions to formally transfer those technologies and technical capabilities. Maintains an active working relationship with the local technology transfer focal point while finalizing formal transfer agreements. Actively works with non-AF transfer partners to effectively complete the AF obligations in the transfer agreement.

**Defense Technical Information Center (DTIC)**

DTIC program provides many tools for the ORTA. Of particular interest is the central database at the DTIC. The database on RDT&E on-line system, or Web Enabled DROLS (WED)--comprises the following:

- It officially replaces the technical reports and Research Summaries portion of the on-line unclassified DROLS system and includes additions in the bibliography feature as well as some minor features and fixes.
- WED uses the power of the Verity search engine combined with some of the unique features of

the traditional DROLS system not normally found in commercial search engines.

- Multiple display formats (two additional display formats were added to Version 2: Modern Language Association (MLA) Draft Citation and Scientific and Information Laboratory Automation System (STILAS TECHRPT).
  1. User defined display formats
  2. Retrieve set sorting
  3. A controlled vocabulary hierarchy search capability
  4. Corporate source hierarchy search feature both the DTIC Thesaurus and the DTIC Corporate Source Hierarchy are resources included in WED. Users can use these tools to identify terms and organizations for their search strategies and hyper-link them to the search page.
  5. The Research Summaries Collection provides work unit level technical and management data to ongoing DoD research and technology. This collection is a database of descriptive summaries of DoD research that provides information on technical content, responsible individuals and organizations, principal investigators and funding sources.
  6. Independent Research and Development (IR&D)--provides information on research and technology projects initiated and performed by DoD contractors from 1993 to present. Note: The IR&D database contains proprietary information and is restricted to DoD components only.
- ORTA staff should use Web Enabled DROLS to identify Air Force technologies and subject-matter experts and identify potential industrial partners for CRADAs, and Patent License Agreements, etc..

**Public Affairs**

- Public Affairs supports technology transfer activities by providing counsel and assistance to the laboratory and centers in marketing strategy



design, audience identification, message crafting, technical translation, and message distribution. They should be brought into the process early and used to develop an integrated communications strategy. Product development assistance is also available for print, graphic and electronic media.

- Public Affairs reviews articles such as success stories, CRADA fact sheets and presentations given outside the Air Force for compliance with public release guidance.

### **Scientific and Technical Information (STINFO)**

- Scientific and Technical Information (STINFO) is any communicable knowledge or information resulting from or about the conduct and management of scientific and engineering efforts, including research, development, engineering, testing, evaluation, production, operation, use, and maintenance of military products, services, and equipment for military systems. STINFO includes all production, engineering, and logistics information.
- The STINFO process is also designed to exchange information promptly and effectively, thus improving mission effectiveness; improving collection, dissemination, and application of Air Force information/data; increasing productivity by cutting time and costs; improving capabilities using new technologies; maximizing use of completed Research, Development, Test and Evaluation (RDT&E), acquisition, and logistics resources. An effort is not complete until it is documented and the results distributed to the appropriate activities. The process is instrumental in helping technology transfer.

### **Defense Security Service (DSS)**

When contacted concerning an Air Force technology-owning entity and upon request, the Defense Security Service (DSS) will search its database of cleared contractors. If the contractor is in the database, DSS will advise whether the cleared contractor has any limitations to its Facility Security Clearance due to foreign ownership, control or

influence (FOCI) and what those limitations are.

DSS will provide a written copy of those limitations, including the level of the Facility Security Clearance and safeguarding capability, if any. DSS only will verify industrial contractors that are registered or in the process of receiving a clearance.